

# Electronic Filing System (EFS) Data

## Electronic Patent Application Submission

### USPTO Use Only

EFS ID: 14916  
Application ID: 10063534  
Title of Invention: SECRETED AND TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME  
First Named Inventor: Dan Eaton  
Domestic/Foreign Application: Domestic Application  
Filing Date: null  
Effective Receipt Date: 2002-05-02   
Submission Type: Utility Patent Filing  
Filing Type: new-utility  
Confirmation Number: 0  
Attorney Docket Number: 10466/316  
Digital Certificate Holder: cn=Paul Rauch, ou=Registered Attorneys, ou=Patent and  
Trademark Office, ou=Department of Commerce, o=U.S.  
Government, c=US  
Certificate Message Digest: 0wNLMbcuysiNr3X5BfMA3Q==  
Total Fees Authorized: \$740.0

Payment Category: CC – Credit Card  
Credit Card Number: \*\*\*\*1001  
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RAM User ID: EFSPROD  
RAM Accounting Date: 2002-05-02  
RAM Sequence Number: 445809  
RAM Payment Status: RAM success  
Postal Code: 60611

# TRANSMITTAL FORM

JC474 U.S. PTO  
10/063534  
05/02/02

Electronic Version 1.0.3

Stylesheet Version: 1.0

Attorney Docket  
Number:

10466/316

Submission Type: Utility Patent  
Filing

## SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME

First Named Inventor: Dan L. Eaton

### SUBMITTED BY

Name: Dr. Paul E. Rauch  
Registration Number: 38591  
Electronic Signature Mark: Paul E. Rauch Date Signed: 20020502

*I certify that the use of this system is for OFFICIAL correspondence between patent applicants or their representatives and the USPTO. Fraudulent or other use besides the filing of official correspondence by authorized parties is strictly prohibited, and subject to a fine and/or imprisonment under applicable law.*

*I, the undersigned, certify that I have viewed a display of document(s) being electronically submitted to the United States Patent and Trademark Office, using either the USPTO provided style sheet or software, and that this is the document(s) I intend for initiation or further prosecution of a patent application noted in the submission. This document(s) will become part of the official electronic record at the USPTO.*

### Attached Files:

sequence-listing Sequence\_Listing\_as\_filed.txt  
declaration Declaration01.tif

|                  |                          |
|------------------|--------------------------|
| declaration      | <b>Declaration02.tif</b> |
| declaration      | <b>Declaration03.tif</b> |
| declaration      | <b>Declaration04.tif</b> |
| declaration      | <b>Declaration05.tif</b> |
| declaration      | <b>Declaration06.tif</b> |
| declaration      | <b>Declaration07.tif</b> |
| declaration      | <b>Declaration08.tif</b> |
| declaration      | <b>Declaration09.tif</b> |
| declaration      | <b>Declaration10.tif</b> |
| declaration      | <b>Declaration11.tif</b> |
| declaration      | <b>Declaration12.tif</b> |
| bibd-transmittal | <b>10466316apds.xml</b>  |
| fee-transmittal  | <b>10466316fee.xml</b>   |
| specification    | <b>10466316.xml</b>      |

**Attached Image File(s):**

**Declaration01.tif**  
**Declaration02.tif**  
**Declaration03.tif**  
**Declaration04.tif**  
**Declaration05.tif**  
**Declaration06.tif**  
**Declaration07.tif**  
**Declaration08.tif**  
**Declaration09.tif**  
**Declaration10.tif**  
**Declaration11.tif**  
**Declaration12.tif**

**Comments:**

I hereby state that the Sequence Listing contained in the specification and drawings submitted herewith and the Sequence Listing attached hereto in .txt format is identical. I further state that this submission includes no new matter. The prior application is assigned of record to Genentech, Inc. REEL/FRAME 012377/0266; Recorded 12/06/01

Docket No

**COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are **as stated below** next to my name,

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if two or more names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention.

**SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE S**

the specification of which (check one)  is attached hereto or  was filed on  as Application Serial No.  and was an International Application No.  (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including drawings if any, and that I acknowledge the same to be correct to the best of my knowledge and belief, and further state that I have not amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 35, United States Code, §119(e) of any United States provisional applications(s) filed prior to the filing date of this application.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s) filed prior to the filing date of this application, and have also identified below any foreign application for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate filed before that of the application on which priority is claimed:

Prior Foreign Application(s):  Prior Yes

Number  Country  Day/Month/Year Filed

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s) filed prior to the filing date of this application.

**Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)**

Application Ser. No.  Filing Date

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application provided by the first paragraph of Title 35, United States Code, §112. I acknowledge the duty to disclose material in accordance with Title 35, United States Code, §119(e) of any United States applications(s) filed prior to the filing date of this application.

**Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications)**

Application Ser. No.  Filing Date  Status: Patented, Pending, Abandon

Application Ser. No.  Filing Date  Status: Patented, Pending, Abandon

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint all Attorney(s) and/or Agent(s) associated with my Patent Office Issued Customer Number to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.



09157

PATENT TRADEMARK OFFICE

Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442

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I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements are made under penalty of perjury under the laws of the United States of America, and that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the U.S. Code, and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent attorney or agent to any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent herein will be so notified by the undersigned.

Full name of sole or first inventor

Dan L. Eaton

10/2/01

Date

Inventor's signature

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Paul J. Godowski

Inventor's signature

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## Full name of eighth joint inventor, if any

Colin K. Watanabe

## Inventor's signature

## Date

10.2.2001

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## Post Office Address

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## Full name of ninth joint inventor, if any

William I. Wood

## Inventor's signature

## Date

10/3/01

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## Post Office Address

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South San Francisco, CA 94080Form 1000 - 04-01  
U.S. Patent and Trademark Office  
United States Government  
GSA Schedule Contract Number GS-00-0003C

Docket No. I

**COMBINED DECLARATION FOR PATENT APPLICATION  
AND POWER OF ATTORNEY**

**As a below named inventor, I hereby declare that:**

**My residence, post office address and citizenship are as stated below next to my name,**

I believe I am the original first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if two or more names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention.

## SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE S/

the specification of which (check one)  is attached hereto or  was filed on  as Application Serial No.  and was am applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including all amendments by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with the Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) of any foreign application(s), inventor's certificate listed below and have also identified below any foreign application for patent or inventor's cert filing date before that of the application on which priority is claimed:

Prior Foreign Application(s): Yes

**Number**      **Country**      **Day/Month/Year Filed**

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications(s).

**Please see attached Appendix A (Listing 87 U.S. Provisional Patent Applications)**

Application Ser. No. Filing Date

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications(s) listed below as the subject matter of each of the claims of this application is not disclosed in the prior United States application i provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose material ir defined in Title 37, Code of Federal Regulations, §1.56 which occurred between the filing date of the prior applic national or PCT international filing date of this application:

**Please see attached Appendix B (Listing 20 U.S. applications and 27 PCT applications**

**Application Ser. No.** **Filing Date** **Status:** Patented, Pending, Abandon

Application Ser. No. Filing Date Status: Patented, Pending, Abandoned

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09157

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**Paul E. Rauch, Registration No. 38,591, CUSTOMER NUMBER: 28,442**

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 Facsimile: 312-321-4299  
 Email: prauth@brinkshofer.com

I hereby declare that all statements made herein of my own knowledge and belief are believed to be true; and further that these statements were made with knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both, under Section 1001 of Title 18 of the United States Code, and that willful false statements may jeopardize the validity of the application or any patent issued thereon.

The undersigned hereby authorizes the U.S. attorney or agent named herein to accept and follow instructions from his foreign patent agent in any action to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney or agent and the undersigned. In the event of a change in the persons from whom instructions may be taken, the U.S. attorney or agent named herein will be so notified by the undersigned.

Full name of sole or first inventor

Dan L. Eaton

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Date

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Date

*Oct 15, 2001*

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South San Francisco, CA 94080

## APPENDIX A

I hereby claim the benefit under Title 35, United States Code, §119(e) of any United States provisional applications

1. 60/063435 Filed 10/29/97
2. 60/064215 Filed 10/29/97
3. 60/082797 Filed 4/22/98
4. 60/083495 Filed 4/29/98
5. 60/085579 Filed 5/15/98
6. 60/087759 Filed 6/2/98
7. 60/088021 Filed 6/4/98
8. 60/088029 Filed 6/4/98
9. 60/088030 Filed 6/4/98
10. 60/088734 Filed 6/10/98
11. 60/088740 Filed 6/10/98
12. 60/088811 Filed 6/10/98
13. 60/088824 Filed 6/10/98
14. 60/088825 Filed 6/10/98
15. 60/088863 Filed 6/11/98
16. 60/089105 Filed 6/12/98
17. 60/089514 Filed 6/16/98
18. 60/089653 Filed 6/17/98
19. 60/089952 Filed 6/19/98
20. 60/090246 Filed 6/22/98
21. 60/090444 Filed 6/24/98
22. 60/090688 Filed 6/25/98
23. 60/090696 Filed 6/25/98
24. 60/090862 Filed 6/26/98
25. 60/091628 Filed 7/2/98
26. 60/096012 Filed 8/10/98
27. 60/096757 Filed 8/17/98
28. 60/096949 Filed 8/18/98
29. 60/096959 Filed 8/18/98
30. 60/097954 Filed 8/26/98
31. 60/097971 Filed 8/26/98
32. 60/097979 Filed 8/26/98
33. 60/098749 Filed 9/1/98
34. 60/099741 Filed 9/10/98
35. 60/099763 Filed 9/10/98
36. 60/099792 Filed 9/10/98
37. 60/099812 Filed 9/10/98
38. 60/099815 Filed 9/10/98
39. 60/100627 Filed 9/16/98
40. 60/100662 Filed 9/16/98
41. 60/100683 Filed 9/17/98
42. 60/100684 Filed 9/17/98
43. 60/100930 Filed 9/17/98
44. 60/101279 Filed 9/22/98

|     |           |                |
|-----|-----------|----------------|
| 46. | 60/101738 | Filed 9/24/98  |
| 47. | 60/101743 | Filed 9/24/98  |
| 48. | 60/101916 | Filed 9/24/98  |
| 49. | 60/102570 | Filed 9/30/98  |
| 50. | 60/103449 | Filed 10/6/98  |
| 51. | 60/103678 | Filed 10/8/98  |
| 52. | 60/103679 | Filed 10/8/98  |
| 53. | 60/103711 | Filed 10/8/98  |
| 54. | 60/105000 | Filed 10/20/98 |
| 55. | 60/105002 | Filed 10/20/98 |
| 56. | 60/105881 | Filed 10/27/98 |
| 57. | 60/106030 | Filed 10/28/98 |
| 58. | 60/106464 | Filed 10/30/98 |
| 59. | 60/106856 | Filed 11/3/98  |
| 60. | 60/108807 | Filed 11/17/98 |
| 61. | 60/112419 | Filed 12/15/98 |
| 62. | 60/112422 | Filed 12/15/98 |
| 63. | 60/112853 | Filed 12/16/98 |
| 64. | 60/113011 | Filed 12/16/98 |
| 65. | 60/112854 | Filed 12/16/98 |
| 66. | 60/113300 | Filed 12/22/98 |
| 67. | 60/113408 | Filed 12/22/98 |
| 68. | 60/113430 | Filed 12/23/98 |
| 69. | 60/113621 | Filed 12/23/98 |
| 70. | 60/114223 | Filed 12/30/98 |
| 71. | 60/115614 | Filed 1/12/99  |
| 72. | 60/116527 | Filed 1/20/99  |
| 73. | 60/116843 | Filed 1/22/99  |
| 74. | 60/119285 | Filed 2/9/99   |
| 75. | 60/119287 | Filed 2/9/99   |
| 76. | 60/119525 | Filed 2/10/99  |
| 77. | 60/119549 | Filed 2/10/99  |
| 78. | 60/120014 | Filed 2/11/99  |
| 79. | 60/129122 | Filed 4/13/99  |
| 80. | 60/129674 | Filed 4/16/99  |
| 81. | 60/131291 | Filed 4/27/99  |
| 82. | 60/138387 | Filed 6/9/99   |
| 83. | 60/144791 | Filed 7/20/99  |
| 84. | 60/169495 | Filed 12/7/99  |
| 85. | 60/175481 | Filed 1/11/00  |
| 86. | 60/191007 | Filed 3/21/00  |
| 87. | 60/199397 | Filed 4/25/00  |

## APPENDIX B

I hereby claim the benefit under Title 35, United States Code, §120 of any United States applications listed below:

### US APPLICATIONS

1. 09/380139 Filed 8/25/98
2. 09/311832 Filed 5/14/99
3. 09/380137 Filed 8/25/99 ABD
4. 09/380138 Filed 8/25/99 ABD
5. 09/380142 Filed 8/25/99 ABD
6. 09/397342 Filed 9/15/99
7. 09/403297 Filed 10/18/99 ABD
8. 09/423844 Filed 11/12/99 ABD
9. 09/644848 Filed 8/22/00
10. 09/665350 Filed 9/18/00
11. 09/664610 Filed 9/18/00 ABD
12. 09/709238 Filed 11/8/00
13. 09/747259 Filed 12/20/00
14. 09/816744 Filed 3/22/01
15. 09/854208 Filed 5/10/01
16. 09/854280 Filed 5/10/01
17. 09/870574 Filed 5/30/01
18. 09/874503 Filed 6/5/01
19. 09/869599 Filed 6/29/01
20. 09/908,827 Filed 7/18/01

### PCT APPLICATIONS

1. PCT/US98/19330 Filed 9/16/98
2. PCT/US99/05028 Filed 3/8/99
3. PCT/US99/10733 Filed 5/14/99
4. PCT/US99/12252 Filed 6/2/99
5. PCT/US99/20111 Filed 9/1/99
6. PCT/US99/21090 Filed 9/15/99
7. PCT/US99/21194 Filed 9/15/99
8. PCT/US99/30720 Filed 12/22/99
9. PCT/US00/04341 Filed 2/18/00
10. PCT/US00/04342 Filed 2/18/00
11. PCT/US00/04414 Filed 2/22/00
12. PCT/US00/05601 Filed 3/1/00
13. PCT/US00/08439 Filed 3/30/00
14. PCT/US00/14042 Filed 5/22/00
15. PCT/US00/15264 Filed 6/2/00
16. PCT/US00/23522 Filed 8/23/00
17. PCT/US00/23328 Filed 8/24/00
18. PCT/US00/30873 Filed 11/10/00
19. PCT/US00/32378 Filed 12/1/00
20. PCT/US00/34956 Filed 12/20/00

|     |                |               |
|-----|----------------|---------------|
| 22. | PCT/US01/06666 | Filed 3/1/01  |
| 23. | PCT/US01/17443 | Filed 5/30/01 |
| 24. | PCT/US01/17800 | Filed 6/1/01  |
| 25. | PCT/US01/19692 | Filed 6/20/01 |
| 26. | PCT/US01/21066 | Filed 6/29/01 |
| 27. | PCT/US01/21735 | Filed 7/9/01  |

# FEE TRANSMITTAL

Electronic Version 1.1.0

Stylesheet Version: 1.0

*Patent fees are subject to annual revisions on or about October 1st of each year.*

Large Entity

**TOTAL FEES AUTHORIZED: \$ 740**

## BANK (CREDIT) CARD INFORMATION:

Credit Card Number: 1001  
Expiration Date: 20040430  
Authorized Name: M HOFFMAN 10466/316  
Billing Address: 60611

## BASIC FILING FEE

| Fee Description    | Fee Code | Fee Paid |
|--------------------|----------|----------|
| Utility Filing Fee | 101      | \$ 740   |

Subtotal For Basic Filing Fee: \$ 740

## EXTRA CLAIM FEES

|                       | Fee Code | Fee   | Extra Claims | Fee Paid |
|-----------------------|----------|-------|--------------|----------|
| Total Claims: 6       | 103      | \$ 18 | 0            | \$ 0     |
| Independent Claims: 1 | 102      | \$ 84 | 0            | \$ 0     |

Subtotal For Extra Claims Fees: \$ 0